



Robert Greene Sterne Jorge A. Goldstein David K.S. Cornwell Robert W. Esmond Tracy-Gene G. Durkin Michele A. Cimbala Michael B. Ray Robert E. Sokohl Eric K. Steffe Michael Q. Lee Steven R. Ludwig John M. Covert Robert C. Millonig Donald J. Featherstone Turothy J. Shea, Jr Michael V. Messinger Judith U. Kim Patrick E. Garrett Jeffrey T. Helvey Eldora L. Ellison Thomas C. Fiala Donald R. Banowit Peter A. Jackman Jeffrey S. Weaver Brian J. Del Buono Mark Fox Evens Edward W. Yee Vincent L. Capuano Virgil Lee Beaston Theodore A. Wood Elizabeth J. Haanes Joseph S. Ostroff Daniel A. Klein lason D. Eisenberg Michael D. Specht

Iracy L. Mufler
Jon E. Wright
LuAnne M. DeSantis
Ann E. Summerfield
Helene C. Carlson
Cynthia M. Bouchez
Timothy A. Doyle
Gaby L. Longsworth
Lori A. Gordon
Laura A. Vogel
Bayan S. Wade
Bashir M.S. Ali
Shannon A. Carroll
Anbar F. Khal
Michelle K. Holoubek
Marsha A. Rose
Young Tang
Christopher J. Walsh

W. Blake Coblentz-James J. Pohl* John T. Haran Mark W. Rygiel Kevin W. McCabe Michael R. Malek* Registered Patent A Karen R. Markowic Matthew J. Dowd

Registered Patent Agents: Karen R. Markowicz Matthew J. Dowd Katrina Yujian Pei Quach Byyan L. Skelton Robert A. Schwartzman Victoria S. Rutherford Simon J. Elliott Julie A. Heider Mita Mukheriee Scott M. Woodhouse Liliana Di Nola-Baron Peter A. Socarras Jeffrey K. Mills Danielle L. Letting Lori Brandes Steven C. Oppenheimer

Of Counsel Edward J. Kessler Kenneth C. Bass III Marvin C. Guthrie

*Admitted only in Maryland *Admitted only in Virginia •Practice Limited to Federal Agencies

November 1, 2006

WRITER'S DIRECT NUMBER: (202) 772-8764 INTERNET ADDRESS: CWALSH@SKGF.COM

Commissioner for Patents PO Box 1450 Alexandria, VA 22313-1450 Art Unit 1618

Mail Stop Amendment

Re:

U.S. Utility Patent Application

Application No. 10/514,427; § 371 Date: November 16, 2004

For:

Substituted 4-Aryl-4H-pyrrolo[2,3-h]chromenes and Analogs as

Activators of Caspases and Inducers of Apoptosis and the Use

Thereof

Inventors: Cai et al.

Our Ref: 1735.0770001/RWE/CJW

Sir:

Transmitted herewith for appropriate action are the following documents:

- 1. First Supplemental Information Disclosure Statement Filing Under 37 C.F.R. § 1.97(b);
- 2. Form PTO/SB/08B (1 sheet);
- 3. Copies of ten (10) references (Documents NPL70-NPL79); and
- 4. Return postcard.

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier.

In the event that extensions of time are necessary to prevent abandonment of this patent application, then such extensions of time are hereby petitioned.

Sterne, Kessler, Goldstein & Fox PLLC. : 1100 New York Avenue, NW : Washington, DC 20005 : 202.371.2600 f 202.371.2540 : www.skgf.com



Commissioner for Patents November 1, 2006 Page 2

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Christopher J. Walsh Attorney for Applicants Registration No. 55,709

CJW/dab 603081_1.DOC Enclosures

NOV:0 1 2006

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

CAI et al.

Appl. No.: 10/514,427

§ 371 Date: November 16, 2004

For:

Substituted 4-Aryl-4Hpyrrolo[2,3-h]chromenes

and Analogs as Activators of Caspases and Inducers of Apoptosis and the Use

Thereof

Confirmation No.: 4080

Art Unit:

1618

Examiner:

FAY, Zohreh A.

Atty. Docket: 1735.0770001/RWE/CJW

First Supplemental Information Disclosure Statement Filing Under 37 C.F.R. § 1.97(b)

Mail Stop Amendment

Commissioner for Patents PO Box 1450 Alexandria, VA 22313-1450

Sir:

Listed on accompanying IDS Form, PTO/SB/08B, are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98. The numbering on this First Supplemental Information Disclosure Statement is a continuation of the numbering in Applicants' Information Disclosure Statement filed on June 12, 2006 in connection with the above-captioned application. Copies of documents NPL70 to NPL79 are submitted.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue. Applicants have listed publication dates on the attached IDS Forms based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

CAI *et al*. Appl. No. 10/514,427

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Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith.

This Information Disclosure Statement is being filed prior to the issuance of the first Office Action on the merits. No statement or fee is required.

It is respectfully requested that the Examiner initial and return a copy of the enclosed IDS Forms, and indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Christopher J. Walsh Attorney for Applicants Registration No. 55,709

Date:

November 1,2006

1100 New York Avenue, N.W. Washington, D.C. 20005-3934 (202) 371-2600

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PTO/SB/08B (07-06)

Approved for use through 09/30/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

FIRST SUPPLEMENTAL					Complete if Known		
				FAI	Application Number	10/514,427	
					§ 371 Date	November 16, 2004	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT					First Named Inventor	CAI, Sui Xiong	
					Art Unit	1618	
(Use as many sheets as necessary)				s necessary)	Examiner Name	FAY, Zohreh A.	
Sheet		1	of	1	Attorney Docket Number	1735.0770001/RWE/CJW	

		NON PATENT LITERATURE DOCUMENTS		
Examin er Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published		
	NPL70	Barinaga, M., "Cell Suicide: By ICE, not Fire," Science 263:754-756, American Association for the Advancement of Science (1994)		
	NPL71	Bode, A. and Dong. Z., "Apoptosis induction by arsenic: mechanisms of action and possible clinical applications for treating therapy-resistant cancers," <i>Drug Resist. Update 1</i> :21-29, Harcourt Publishers Ltd. (2000)		
	NPL72	Ding, Z., et al., "Resistance to apoptosis is correlated with the reduced caspase-3 activation and enhanced expression of antiapoptotic proteins in human cervical multidrugresistant cells," Biochem. Biophys. Res. Comm. 270:415-420, Academic Press (2000)		
·	NPL73	Klokol, G.V. et al., "Cyclization of Nitriles. XXIII. J. Org. Chem. USSR 23:369-377, Consultants Bureau (1987)		
	NPL74	McCarty, M.F., "Polyphenol-mediated inhibition of AP-1 transactivating activity may slow cancer growth by impeding angiogenesis and tumor invasiveness," <i>Medical Hypotheses</i> 50:511-514, Churchill Livingstone. (1998)		
	NPL75	Nørgaard, J.M. and Hokland, P., "Biology of Multiple Drug Resistance in Acute Leukemia," <i>Int. J. Hematol.</i> 72:290-297 (2000), erratum 73:132 (January 2001) Carden Jennings (2000)		
	NPL76	Ruddon, R.W., "Biochemistry of Cancer," in <i>Cancer Medicine</i> , 5 th Ed., B.C. Decker Inc., London, GB, pp. 108-120 (2000)		
	NPL77	Salvesen, G.S. and Dixit, V.M., "Caspase activation: The induced-proximity model," Proc. Natl. Acad. Sci. USA 96:10964-10967, National Academy of Sciences (1999)		
	NPL78	Sharanin, Yu.A. and Klokol, G.V., "Synthesis of 2-Amino-4H-chromenes," J. Org. Chem. USSR 19:1582-1583, Consultants Bureau (1983)		
	NPL79	Wolfe, B.B. and Green, D.R., "Suicidal Tendencies: Apoptotic Cell Death by Caspase Family Proteinases," <i>J. Biol. Chem. 274</i> :20049-20052, The American Society for Biochemistry and Molecular Biology, Inc. (1999)		

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Examiner	Date	·
Signature	Considered	

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and

^{*}EXAMINEK: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Applicant's unique citation designation number (optional). Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.